

420 Rec'd PCT/PTO 20 DEC 1999

1. TITLE

Method and Computer System for Encoding a digital message, for transmission of the message from a first computer unit to a second computer unit, and for decoding the message

2. Technological Background

Various network protocols are known in the area of managing computer networks. The jobs for the management of computer networks are becoming increasingly more difficult due to the great spread of computers and the more and more complex networking of computers and the systems for network management required for this purpose are becoming more and more powerful. The question of security of the network management is acquiring greater and greater significance in the framework of management of computer networks. The security of the network management is highly dependent on the security techniques employed in the system.

The document (M. Rose, The Simple Book, PTR Prentice Hall, 2nd Edition, ISBN 0-13-177254-6, pages 59-91, 1994) discloses various network protocols for network management, for example the Simple Network Management Protocol (SNMP) in Version 1 (SNMPv1) and in Version 2 (SNMPv2) or the Common Management Internet Protocol (CMIP) as well.

The SNMPv1 has been hitherto most widespread for monitoring and supervision of network components both over local computer networks (Local Area Networks, LANs) as well as given global networks (Wide Area Networks, WANs).

The SNMPv1 is arranged above the Internet protocols of user datagram protocol (UDP) and Internet protocol (IP) in the framework of the OSI Communication Layer system. Both the UDP as well as the IP exhibits substantial weaknesses in the area of security, since security mechanisms are hardly integrated through not at all integrated in these protocols.

Below, both the SNMP as well as CMIP are referred to as network protocol.

5

10

15

agent; correspondingly, the functionalities are contained in the computer.

20

25

In the network protocols, either an information query is transmitted from the first computer unit to the second computer units or a control value is transmitted for the control or, respectively, supervision of the second computer unit.

It is standard in each second computer unit given the known network protocols that the information employed by the second computer unit in the framework of the network protocol is stored in the form of what is referred to as a management information base (MIB), which exhibits the structure of a hierarchic data bank.

The overall structure of the management information of the network protocols is stored in what is referred to as a global registration tree, for example the global SNMP registration tree. The MIB of an agent, i.e. of a second computer unit, is a part of the registration tree of the respective network protocol.

Digital messages, for example an SNMPv1 message, are employed for the transmission of information between the first computer unit and the second computer unit.

An SNMPv1 message contains a version number, what is referred to as a community string, and an SNMPv1 protocol data unit (PDU).

The version of the network protocol employed is indicated with the version number. The version number is defined upon implementation of the respective network protocol.

The community string in the SNMPv1 serves as password for access to an MIB of a second computer unit. The community string given SNMPv1 is sent to the agent unencrypted. A check is carried out in the agent, i.e. the second computer unit, to see whether the community string that was respectively received together with an SNMPv1 message authorizes an access in the MIB of the second computer. Since the password is transmitted unencrypted given SNMPv1, a misuse of the community string is easily possible, for example for masking a potential attacker and for unauthorized access to a second computer unit, since it is very simple for a potential attacker to tap the community string together with an IP sender address of an authorized user.

SNMPv1 thus has practically no effective security mechanism integrated in it, particularly no effective authentication of the SNMPv1 manager, and, as a

consequence of the lacking authentication, no dependable access control on the part of the agent. Further, SNMPv1 contains no possibility for implementing security mechanisms of the data integrity or of the data confidentiality. It is thus possible without further ado for a potential attacker to simply listen in to transmitted SNMP-
 5 PDUs and to misuse the transmitted information between manager and agent.

The encoding rules of the network protocols are described in detail in M. Rose, The Simple Book, PTR Prentice Hall, 2nd Edition, ISBN 0-13-177254-6, pages 59-91, 1994.

In the second version of SNMP, SNMPv2, various security measures were
 10 in fact provided but, in particular, the administration of cryptographic keys was so involved that this problem led to the fact that the SNMPv2 was incapable of prevailing in the marketplace over the SNMPv1 despite considerably greater possibilities for the administration of computer networks compared to SNMPv1. The original SNMPv2 standard was therefore withdrawn and replaced by a modified
 15 standard wherein no security was integrated.

CMIP, which due to generally significantly greater complexity compared to SNMPv1 and SNMPv2, was hardly considered in products was incapable of prevailing in the marketplace.

Further, the concept of what is referred to as proxy agents is likewise
 20 described in the document of (M. Rose, The Simple Book, PTR Prentice Hall, 2nd Edition, ISBN 0-13-177254-6, page 315, 1994).

3. Brief Description of the Invention

The invention is thus based on the problem of specifying methods as well as a computer system for encoding, transmission and decoding of a digital message,
 25 whereby cryptographic security mechanisms are provided that are simpler than in the known methods and arrangements.

Given the method according to patent claim 1, a digital message that is to be transmitted from the first computer unit to the second computer unit is encoded into an encoded message upon employment of an encoding format of a network

protocol. The encoded message is subjected to at least one cryptographic process and the cryptographically processed, encoded message is again encoded upon employment of the encoding format of the network protocol.

Given the message according to patent claim 2, the message is decoded
5 according to the encoding format of the network protocol. Further, the decoded, cryptographically processed message is subjected to a cryptographic method inverse relative to the at least one cryptographic method, and the inversely cryptographically processed message is decoded according to the encoding format of the network protocol.

10 Given the method according to patent claim 3, a digital message that is to be transmitted from the first computer unit to the second computer unit is encoded into an encoded message upon employment of an encoding format of a network protocol. The encoded message is subjected to at least one cryptographic process and the cryptographically processed, encoded message is again encoded upon employment
15 of the encoding format of the network protocol. After the encoding has ensued, the entire message is transmitted from the first computer unit to at least the second computer unit. The received message is decoded in the second computer unit according to the encoding format of the network protocol. Subsequently, the decoded message is subjected to the cryptographic process inverse relative to the cryptographic
20 process employed. In a last step, the inversely cryptographically processed message is decoded according to the encoding format of the network protocol.

As a result of the "double" encoding or, respectively, decoding with the respective network protocol, a very simple solution conforming to the standards is proposed in order to cryptographically secure the transmission of messages of a
25 network protocol.

The method also exhibits the considerable advantage of simple realizability and, thus, of fast implementability with the assistance of a computer. A further advantage may be seen therein that the network protocols can remain unmodified and no new network protocols need be defined. Thus, no complicated

version switching or even redefinition of network protocols is required. The cryptographic security of the respective network protocol can be substantially enhanced without greater outlay.

The computer system according to patent claim 12 contains at least one
 5 computer unit that is configured such that the method according to one of the claims 1 through 11 is implemented.

The computer system according to patent claim 13 for encoding a digital message upon employment of an encoding format of a network protocol comprises at least the following components:

- 10 - a first means for encoding the digital message upon employment of the encoding format of the network protocol to form an encoded message;
- a second means for the cryptographic processing of the encoded message;
- a third means for encoding the cryptographically processed message upon employment of the encoding format of the network protocol.

15 The computer system according to patent claim 14 for decoding a digital message that is present in an encoding format of the network protocol comprises at least the following components:

- a fifth means for receiving the encoded, cryptographically processed message from the first computer unit;
- 20 -- a sixth means for decoding the received message according to the encoding format of the network protocol;
- a seventh means for the inverse cryptographic processing of the decoded, cryptographically processed message; and
- an eighth means for decoding the inversely cryptographically processed
 25 message according to the encoding format of the network protocol.

The computer system according to patent claim 15 for encoding a digital message, for transmitting the message from a first computer unit to a second computer unit and for decoding the message contains at least the following components:

- a first computer unit that comprises at least the following components:

- a first means for encoding the digital message upon employment of an encoding format of a network protocol to form an encoded message;
- a second means for the cryptographic processing of the encoded message;
- a third means for the encoding of the cryptographically processed message upon employment of the encoding format of the network protocol;
- 5 -- a fourth means for sending the encoded, cryptographically processed message from the first computer unit to the second computer unit;
- a second computer unit that comprises at least the following components:
- a fifth means for receiving the encoded cryptographically processed message from the first computer unit;
- 10 -- a sixth means for decoding the received message according to the encoding format of the network protocol;
- a seventh means for the inverse cryptographic processing of the decoded, cryptographically processed message; and
- 15 -- an eighth means for decoding the inversely cryptographically processed message according to the encoding format of the network protocol.

The computer systems thus likewise exhibit the advantages described above in conjunction with the method.

Advantageous developments of the invention derive from the dependent
20 claims.

The method can be especially advantageously employed in conjunction with SNMPv1 as network protocol, since practically no cryptographic security was previously present for SNMPv1.

However, this method and the corresponding arrangement for the
25 implementation of the method can also be employed in the other network protocols, since the overall complexity of the respective network protocol therein is also considerably reduced.

Further, it is advantageous in the computer system to fashion a second means for cryptographic processing of the encoded message, a third means for

encoding the cryptographically processed message upon employment of the encoding format of the network protocol as well as a fourth means for sending the encoded, cryptographically processed message to the second computer unit as what is referred to as a proxy agent, which is connected to the first means for encoding the digital message upon employment of the network protocol via a communication connection that is assumed to be secure. The first proxy agent and the first computer unit can be realized in common in one computer unit or can also be realized in two different computer units.

In this way, the realization of a computer system for cryptographically secure transmission of messages of the encoding format of a network protocol is achieved upon employment of the proxy technique, which is known from the document of (M. Rose, The Simple Book, PTR Prentice Hall, 2nd Edition, ISBN 0-13-177254-6, page 315, 1994).

This advantage can likewise be established when a fifth means for the reception of the encoded, cryptographically processed message, a sixth means for the decoding of the received message according to the encoding format of the network protocol as well as a seventh means for the inverse cryptographic processing of the decoded cryptographically processed message are realized together in a second proxy agent that is connected to the agent of the second computer unit upon employment of the network protocol via a communication connection assumed to be secure.

4. Brief Description of the Figures

The figures show an exemplary embodiment of the invention, which is explained in greater detail below.

Shown are:

- Figure 1 a flowchart wherein the inventive method is shown with realization details for a get request;
- Figure 2 a flowchart wherein the method is shown in terms of its method steps with realization details for a set request;
- Figure 3 a flowchart wherein the method is shown in abstract form;

5

Figure 6 the possible structure of a cryptographically processed SNMPv1 message wherein the security service of confidentiality of the SNMPv1 message is realized.

10

15

The second computer unit C2 comprises an SNMPv1 agent AG as well as a second proxy agent PA2 at the side of the second compute C2.

20

25

In a third step 103, the encoded message CN is received in the first proxy agent PA1.

What is to be understood by a cryptographic method is any arbitrary cryptographic method, for example for authentication, for securing the data integrity or for encryption of digital data as well. For example, the RSA method or the data encryption standard as well, which is referred to as DES method, can thereby be employed.

In a fifth step 105, the cryptographically processed message KBN is again encoded upon employment of the encoding format of the SNMP network protocol. What is to be understood by this method step is that the cryptographically processed get request is preferably encoded in a set request, i.e. encapsulated. Further, a third means 105 for the encoding of the cryptographically processed message upon employment of the encoding format of the network protocol is provided.

In a sixth step 106, the set request is transmitted as encoded,
25 cryptographically processed message CKN from the first computer unit C1 to the
second computer unit C2, i.e. from the first proxy agent PA1 to a second proxy agent
PA2.

The encoded, cryptographically processed message CKN is received in a seventh step 107 by the second proxy agent PA2 of the second computer unit C2. To

In an eighth step 108, a get response - in conformity with standards - is sent from the second proxy agent PA2 to the first proxy agent PA1 of the first

In a ninth step 109, the received, encoded, cryptographically processed message CKN is de-encapsulated, i.e. decoded, upon employment of the encoding format of the network protocol. A sixth means 109 is provided for the decoding of the received message corresponding to the encoding format of the SNMPv1 protocol.

Further, the inversely cryptographically processed message IKN, i.e. the original get request, is sent from the second proxy agent PA2 to the agent application AG of the second computer unit C2.

In a further step 112, the inversely cryptographically processed message is decoded according to the encoding format of the SNMPv1 protocol to form the digital message, i.e. is interpreted. This means that, for the specific instant of the get request, the information requested via the get request, namely of a value of what is referred to as a managed object (MO) that is stored in the MIB of the agent AG, is read out. The particular as to what information is in fact requested is contained in the original get request as object identifier.

The requested action, the read out of the requested information in this case, a value of a managed object, is thus implemented in the twelfth step 112. To this end, a ninth means 112 is provided for the implementation of the requested action.

5 As provided in SNMPv1, a get response is formed by the agent AG in the second computer unit as reply to a get request and, in a thirteenth step 113, is sent to the second proxy agent PA2. The get response contains the result of the action that was requested by the first computer unit C1 in the get request.

10 The get response is referred to below as reply message AN. The reply message AN can be transmitted either directly to the first computer unit C1 or, for further enhancement of the cryptographic security, can be encoded again in conformity with the encoding format of the network protocol. A tenth means 112 for sending the result of the action to the first computer unit C1 is provided in the second computer unit C2.

15 Further, an eleventh means 113 is provided for forming the reply message AN that contains the result of the action and for encoding the reply message AN according to the encoding format of the SNMPv1 protocol.

20 In a fourteenth method step 114, the second proxy agent PA2 receives the reply message AN. A twelfth means 114 for the reception of the reply message AN is provided for this purpose.

In a fifteenth step 115, the encoded reply message AN is subjected to at least one cryptographic process. For this purpose, a thirteenth means 115 is provided for processing the reply message AN with at least one cryptographic process. The result of this method step is a get response encapsulated in a security frame.

25 The cryptographically processed reply message KBAN is stored in a security MIB in the second processing agent PA2 (step 116). The structure of the security MIB is described in greater detail later.

In order to obtain to the cryptographically processed reply message KBAN, the first proxy agent PA1 of the first computer unit C1 forms a get request,

Get-Net-Request

Set-Request

In a first step 201, the set request, i.e. the digital message, is encoded.

In a third step 203, the encoded message CN is received by the first proxy

In a fifth step 205, the cryptographically processed message KBN is again encoded upon employment of the encoding format of the SNMPv1 protocol to form an encoded, cryptographically processed message CKN. A set request is again employed for this purpose.

In a seventh step 207, the second proxy agent PA2 receives the set request.

As a reaction to the reception of the set request, the second proxy agent PA2 sends a get response in conformity with the standard that contains the error status as confirmation (step 208).

In a tenth step 210, the cryptographic method respectively inverse relative to the cryptographic method employed is applied to the cryptographically processed message DKN. Further, the inversely cryptographically processed message IKN, i.e. the original set request, is sent from the second proxy agent PA2 to the agent AG of the second computer unit C2.

In an eleventh step 211, the agent AG receives decoded, cryptographically processed message and, in a further step 212, the action indicated in the set request is implemented.

As reaction, the agent AG of the second computer unit CU sends the reply message AN in the form of a get response to the second proxy agent PA2 in conformity with the standard (step 213).

In a fourteenth step 214, the second proxy agent PA2 receives the reply message AN.

In a fifteenth step 215, at least one prescribable cryptographic method is again applied to the reply message AN.

The further method steps 216, 217, 218, 219, 220 as well as 221 correspond to the method steps 116, 117, 118, 119, 120 as well as to 121 described in conjunction with a get request method.

The security MIB contains entries that employ the usual syntax for describing managed objects in their structure. Entries in the security MIB are assigned unambiguous object identifiers that are employed for the unambiguous identification of the entries in the security MIB. The object identifiers are registered in the global SNMP-MIB. What is thus achieved is that the purpose and the syntax of

5 consideration in the framework of the method.

such a security MIB is presented below.

The structure of such an encapsulated managed object is as follows:

10 SecureMO ::=

```
SEQUENCE {
    PlainHeader,
    EncapsulatedData
}
```

```

15 PlainHeader ::=

```

```
SEQUENCE {
    SecurityAssociationID,
    UsedAlgorithms,
    AlgorithmParameters
}
```

EncapsulatedData ::= OCTET STRING

- signed, encrypted, or integrity protected
- ASN.1-encoded data

SecurityAssociationID ::= OBJECT IDENTIFIER

```
25  UsedAlgorithms ::= INTEGER (0..7)
```

- value 0 stands for “no security”
- value 1 stands for “signed”
- value 2 stands for “integrity protected”
- value 3 stands for “signed” and “integrity protected”

- value 4 stands for "encrypted"
- value 5 stands for "signed" and "encrypted"
- value 6 stands for "integrity protected" and "encrypted"
- value 7 stands for "signed", "integrity protected" and "encrypted"

5 AlgorithmParameters ::=

- necessary parameters for the particular
- algorithms in use

10 The value of the parameter UsedAlgorithms is formed according to the following strategy. It can be represented as bit string having the length of 3 bits, whereby the bit of least significance indicates the employment of digital signature ("signed"); the bit having the second lowest significance indicates, for example, whether mechanisms for the protection of the data integrity are provided ("integrity protected"), and the bit having the highest significance describes whether the data were encrypted.

15 The result of every cryptographic processing of a message can thus be described as bit string having the length 3. The cryptographically processed message is encoded as OCTET STRING. When it is composed of a plurality of bits not divisible by 8, then, however, it can be expanded into an OCTET STRING by employing what is referred to as padding, i.e. filling bits in without semantic

20 significance.

 This situation is shown by way of example in a flowchart in Figure 3.

 An SNMPv1 request SR is encoded 301 into ASN.1 (encoding rules, syntax definition, ER) according to the rules for encoding of the respective network protocol. The encoded SNMP request CSR, i.e. the encoded message CN, is

25 subjected to the respective cryptographic process in a second step 302. For example, cryptographic keys, parameters for indicating the algorithm employed, as well as additional information, general cryptographic information VI, for the implementation of the respective cryptographic method are thereby employed.

The abstract procedure for the inverse cryptographic processing is correspondingly inversely implemented.

Thus, it is advantageous to employ the concept of community strings in
SNMPv1 in the framework of this method as well. In the framework of the concept of
a community, groups are defined and access rights for the respective members of the
group are allocated to the individual groups. A community and the access rights
allocated to the community are part of a configuration of an SNMPv1 agent. It is
advantageous to respectively associate communities with specific security
mechanisms. Thus, for example, it is possible to assign different cryptographic
algorithms, cryptographic keys and corresponding parameters that are respectively
employed in the framework of the cryptographic method to members of the
community in a community.

In the security configuration, object identifiers are preferably applied to stored cryptographic keys instead of cryptographic keys, these being referred to below as key identifiers. The respective key material is protected better as a result of this procedure.

Further, the respective key material can thereby be more highly protected in that, for example, the data files wherein the cryptographic keys are maintained are encrypted or specific hardware units are provided for the protection of the cryptographic keys, for example chip cards.

Authentication of the Data Source

The SNMPv1 request, i.e. the encoded message CN, is encapsulated with the following header or, respectively, trailer information by the cryptographic processing, as a result whereof the cryptographically processed message KBN arises.

An authentication header AH contains a key identifier KID with which the cryptographic key to be respectively employed is indicated via an object identifier, an algorithm identifier AID with which the respective cryptographic algorithm to be applied for authentication is indicated, algorithm parameters AP with which the parameters that are to be employed within the framework of the authentication are indicated, a time stamp TS as well as a random number RN.

Access Control for Management Information

- read only,
- read-write,
- write only,
- not accessible.

Second, what is referred to as an MIB viewed together with the respective access rights is allocated to each community in the SNMPv1 agent configuration. An

MIB view contains a prescribable plurality of object identifiers that indicate the respective sub-trees or what are referred to as leaves of the SNMP registration tree.

The respective access rights comprise one of the following values:

- read only,
- 5 - write only,
- read-write,
- none.

Security of the Data Integrity of an SNMP Request

A mechanism for the cryptographic protection of the data integrity is utilized for securing the data integrity. Data integrity checksums are formed over the entire SNMPv1 request or over a part thereof for this purpose. This can ensue, for example, with the DES in what is referred to as the cipher block chaining mode (CBC mode). The employment of a 64 bit long initialization value is required for this specific mechanism, this having to be known to every party of the respective security group. The initialization value is part of the algorithm parameter AP that is employed in the header information HI of the cryptographically processed message KBN (see Figure 5). Further, the header information HI comprises a key identifier KID as well as an algorithm identifier AID whose functionality is the same as in the authentication.

Further, an integrity checksum ICV is provided in a trailer information TI.

Encryption of SNMPv1 Requests

Confidentiality of the transmitted SNMPv1 data can ensue in a way similar to the protection of the data integrity. For example, the DES method in the CBC mode can again be employed for the encryption. In this case, an initialization value is again required as algorithm parameter AP and a header information HI of the cryptographically processed message KBN is required (see Figure 6).

A key identifier KID as well as an algorithm identifier AID having the above-described functionality are again provided in the header information HI.

Further, mechanisms for logging the communication as well as for outputting an alarm when attempted attacks are found can be provided.

The method and the computer system can be very advantageously employed within the framework of a scenario wherein a vendor of a communication
 5 network makes bandwidth of the communication network available to a service provider who makes additional services available to third parties that do not provide the communication network in and of itself. In this context, the method as well as the computer system can advantageously serve, for example, for controlling or for accounting for the resources made available by the vendor of the overall
 10 communication network. In this case, the manager will be realized on a computer of the vendor of the overall communication network and an agent will be realized at the respective provider of additional services.

It is provided in one version of the above described exemplary embodiment to directly encode the reply message without waiting for a fetch message
 15 and to send it to the first computer unit. The following steps are thus not required in the second computer unit:

- the encoding of a fetch message according to the encoding format of the network protocol in the first computer unit, with which the cryptographically processed reply message is requested from the second computer unit;
- 20 - the transmission of the fetch message from the first computer unit to the second compute unit; as well
- the reception of the fetch message.

The analogous case applies to the computer system.

Clearly, the method can be described such that a cryptographic process is
 25 applied to the standard-conforming network protocol, for example the SNMPv1 protocol, being applied to the respective SNMP request or CMIP request as well, a cryptographic protection of the SNMP request or, respectively, the CMIP request being achieved with this. In order, however, to enable the employment of standard-conforming SNMP methods, the cryptographically processed message is again

encoded with the respective encoding format of the network protocol. This corresponds to a "double" application of the respective network protocol to the message to be encoded.